

4.5 CHECKING AND CORRECTIVE ACTION

4.5.3 RECORDS

Auditor Name and Date: _____

Organization and Department Audited: _____

Personnel Interviewed: _____

STANDARD REQUIREMENTS

4.5.3 The organization shall...

	Conforms (Y/N)
...establish and maintain documented procedures for the identification, maintenance, and disposition of environmental records (these shall include training records and the results of audits and reviews).	
...maintain environmental records that are legible, identifiable, and traceable to the activity, product, or service involved.	
...store and maintain environmental records in such a way that they are readily retrievable and protected against damage, deterioration, or loss. Their retention times shall be established and recorded.	
...maintain records as appropriate to the system and to the organization, thereby demonstrating conformance to the requirements of ISO 14001.	

NOTES:

OVERALL CONFORMANCE: YES NO

4.5.3 Records: Supplemental Questions by Function		
<i>DEPUTY DIRECTOR</i>		OBJECTIVE EVIDENCE
a.	Who is responsible for managing EMS records?	
b.	Where are the environmental records and those records that relate to achieving and maintaining ISO 14001 certification maintained?	

<i>EMS REPRESENTATIVE</i>		OBJECTIVE EVIDENCE
a.	How does the EMS deal with the retention of training and audit records?	
b.	Have guidelines been established as to the length of time records are required to be stored?	
c.	Are backup files maintained for all EMS information currently available electronically?	
d.	How does the organization ensure that EMS records are readily retrievable and are protected against damage?	

<i>SENIOR STAFF</i>		OBJECTIVE EVIDENCE
a.	How do you store your records pertaining to EMS training, regulatory compliance, and equipment calibration?	
b.	Storage policy for environmental records requires that they be maintained for how long?	
c.	Can you show me where you keep your environmental records? (<i>Review for dates, storage methods, and retrievability.</i>)	
d.		

4.5.3 Records: Supplemental Questions by Function (cont.)		
<i>DIVISION PERSONNEL</i>		OBJECTIVE EVIDENCE
a.	When you were given EMS training, was your presence at that training documented?	
b.	Are you aware of what happened to those documents?	
c.	Are you asked to fill out any forms or keep any records that reflect on the environmental impact of performing your job? Are they signed and dated? Who do you give them to?	

NOTES:

DOCUMENTS:

- ☐ Procedures related to records management.
- ☐ List or description of records which are a part of the records retention process.
- ☐ Records retention times.

EMS LINKS:

- Document Control